Audit Database Manual

08/15/08
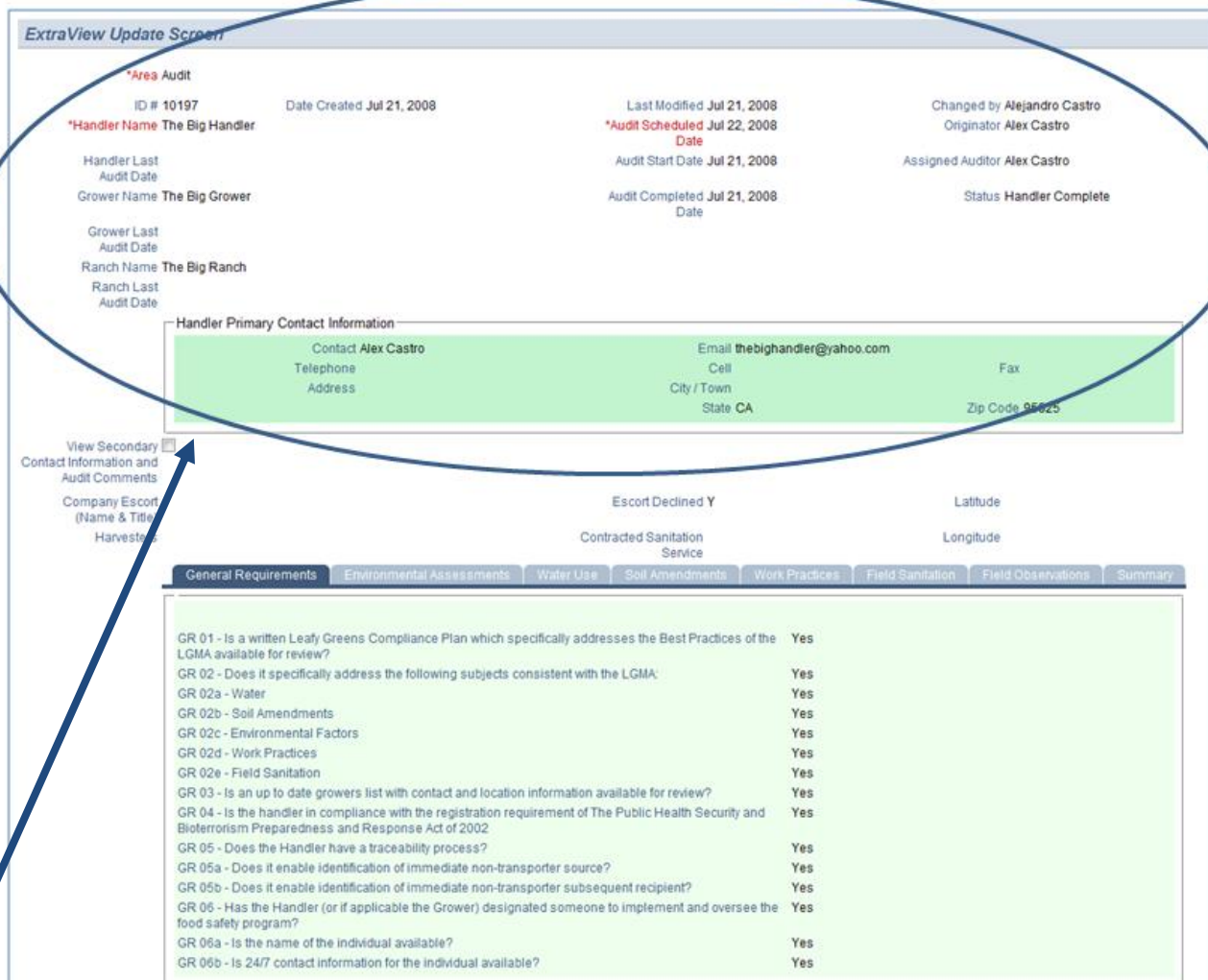
Audit Database Manual

Overview

The new LGMA Audit Database:

- Automates the process from initial audit to submission of corrective actions to closing out the audit
- Allows handlers access to all of their audit information in one place
- Protects handler confidentiality
- Improves program reporting and transparency

The Audit

- CDFA auditors will enter all audit findings into the online database – which is set up in accordance with the LGMA-approved checklist
    - When the audit is completed, the handler and the LGMA are notified via email

The auditor enters all of the basic information about the audit – including the date of the audit, the grower and ranch audited, the name of the auditor, etc. – in this section
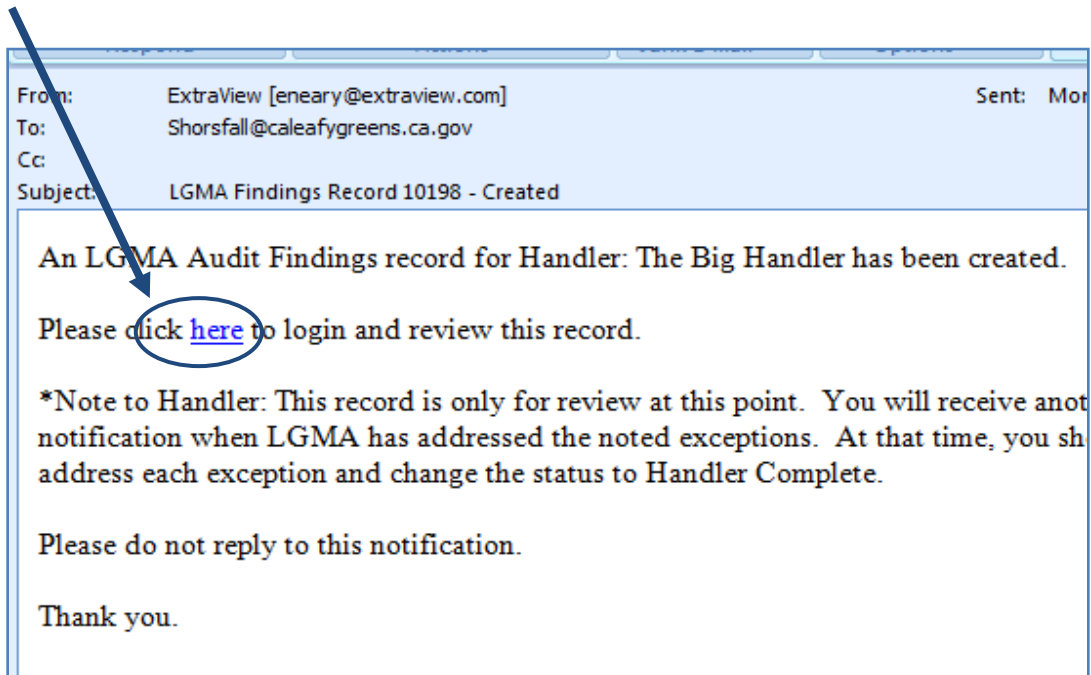
The Audit (continued)

The auditor enters the audit result for each item on the LGMA Audit checklist in this section

Each section of the metrics has its own tabbed section (general requirements, water use, etc.)

Notification

- When the audit is completed, the Handler and the LGMA are notified via email
- By clicking on the link in the email, the handler can log into the database and review the results of the audit – however, at this point, no corrective actions can or should be entered
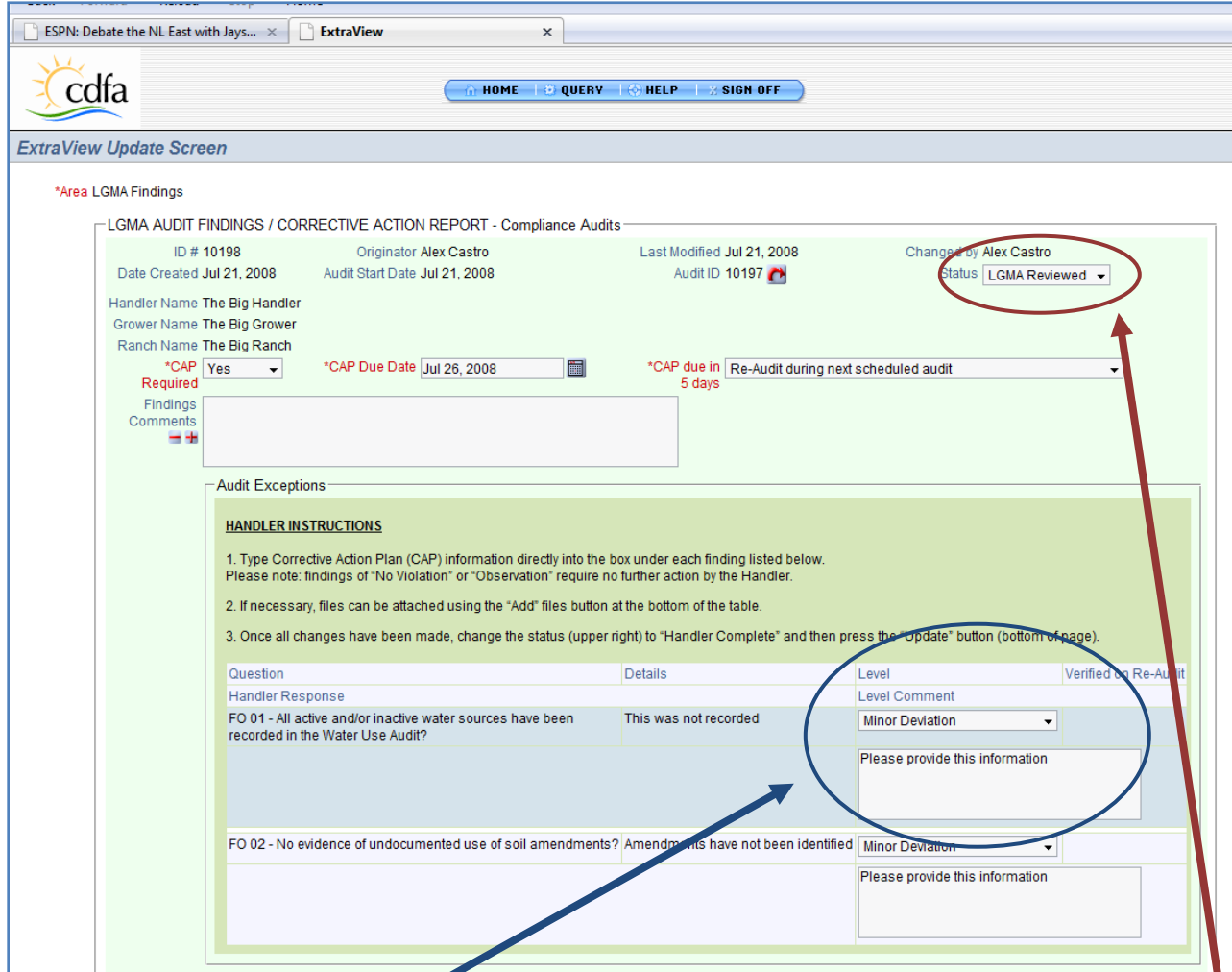
From: ExtraView [eneary@extraview.com]   Sent: Mon
To: Shorsfall@caleafygreens.ca.gov
Cc:
Subject: LGMA Findings Record 10198 - Created

An LGMA Audit Findings record for Handler: The Big Handler has been created.

Please click here to login and review this record.

*Note to Handler: This record is only for review at this point. You will receive anot
notification when LGMA has addressed the noted exceptions. At that time, you sh
address each exception and change the status to Handler Complete.

Please do not reply to this notification.

Thank you.

Logging In

You can log into the system by clicking the link in your notification email (above) or by going directly to the following web address: http://cdfalgma.extraview.net/cdfalgma/ExtraView

- Each handler has been assigned a user name and password
- You should change your password when you access the database for the first time
- Protecting your user name and password is your way of protecting the confidentiality of your information

ExtraView
Your Process. Your Workflow.

ExtraView User Sign On

Please sign on with your User ID and Password

User ID [   ]
Password [   ]

[Sign On]

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LGMA Review

The LGMA Staff reviews the audit report in the database and assigns citation levels (minor deviation, major deviation, etc.) for any findings. Staff can also add comments on any individual finding

Once the LGMA has completed assigning citation levels (if any), the status is changed to LGMA Reviewed and the Handler is again notified – this is when the handler's corrective action process begins

Corrective Actions

- Once the LGMA review of the audit is complete, the Handler is again notified via email

- If there are no findings above minor infractions cited, no action is required and the audit will be closed

- If there are findings that require a Corrective Action Plan (CAP), that information should now be entered into the database

- After logging into the system, the Handler enters Corrective Action Information into this page of the database

This section indicates whether or not a Corrective Action Plan (CAP) is required and, if so, when it is due

The handler should enter the corrective action information into the text box directly below the specific finding being addressed. There is a text box for each finding.

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Corrective Actions (continued)

Files can also be attached and submitted using the Attachments button at the bottom of the page. All commonly-used file types are acceptable, including Word and Excel documents, PDF files, and others. Multiple files can be added one at a time using the "Add" button.

In order to submit Corrective Actions, the Handler must change the status to "Handler Complete" _AND_ click the Update button

Closing the Audit

- LGMA reviews handler's corrective actions and has two options: accepting the corrective actions and notifying CDFA, or requesting more information from the handler

- If LGMA needs more information or clarification, comments are added and the handler is notified via email. Additional information can be entered into the text boxes or attached in a file.

- Handler again changes status to Handler Complete and hits the Update button to notify LGMA

- If the LGMA considers corrective actions to be complete, the audit is closed

    - Handler is notified that the audit has been closed – no further changes can be made by the handler

    - CDFA is notified, and a follow up audit (if required) is scheduled

- Upon successful completion of any follow up audits, the original audit is closed and locked

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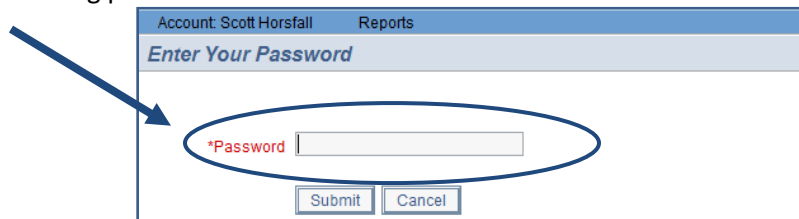## FAQs – How to Change Your Password

1. Sign into the system using your existing user name and password
2. Click on "Home"
3. Click on "Account: user name"

4. Select "Personal Options"
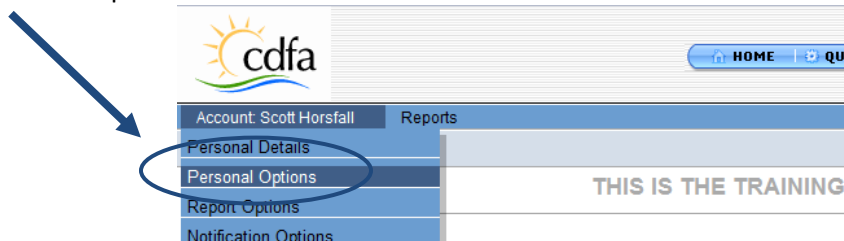
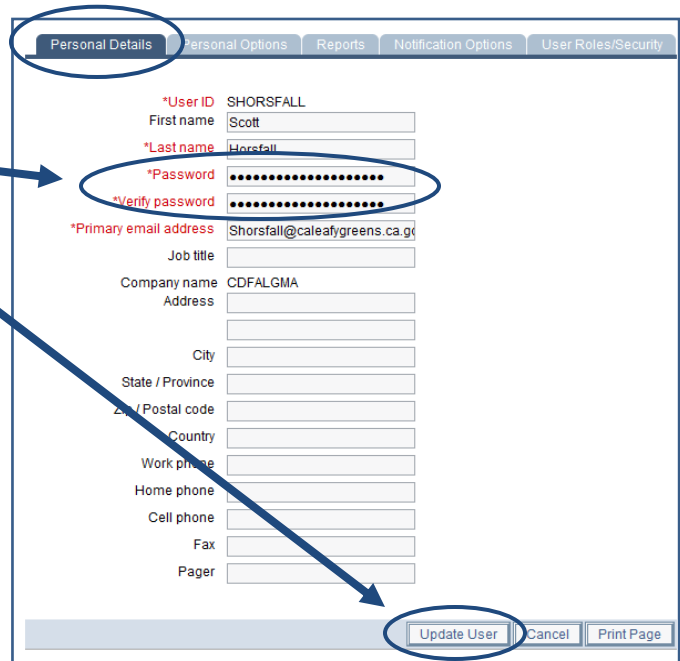5. Enter your existing password and click the "Submit" button

6. Click on the Personal details tab

7. Enter a new password in the password and verify password fields

8. Click on the "Update User" button

9. Your password is now reset and will be required the next time you log into the system
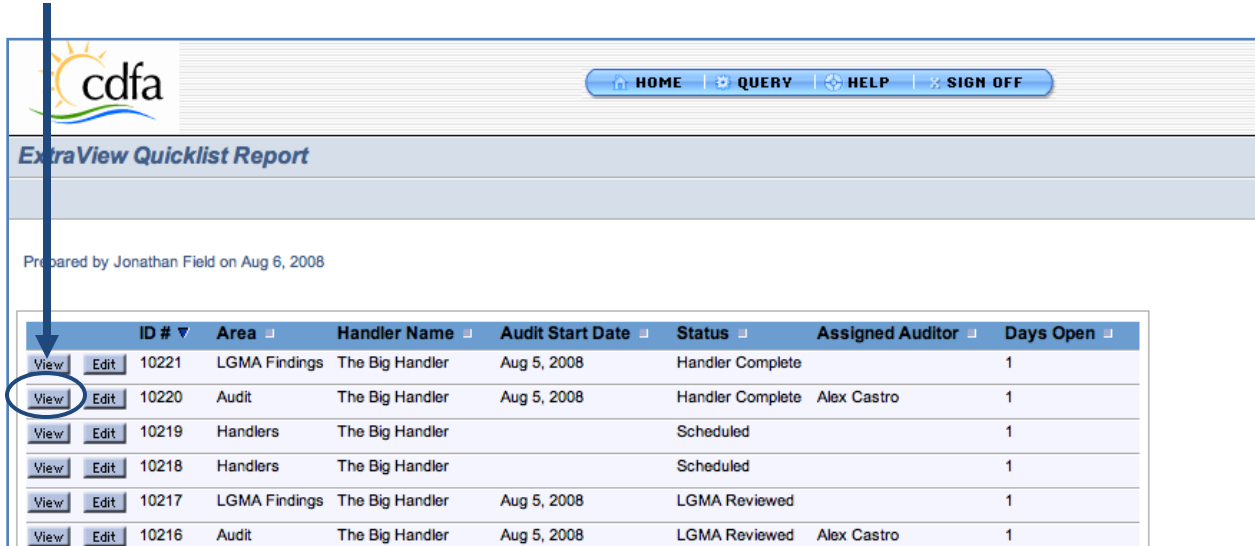
FAQs – How to Print a Page

From the list of audits available from your home page, select "View" for the audit or report you want to print
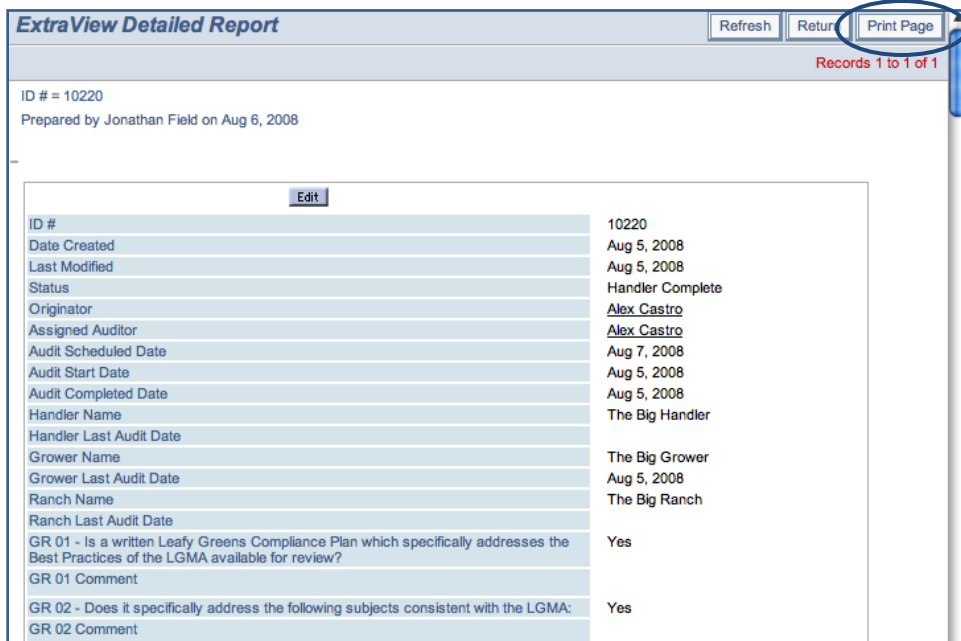

A new web page will open with the report pre-formatted to print on 8½ x 11 paper.

Clicking on the "print page" button will open your computer's print command screen
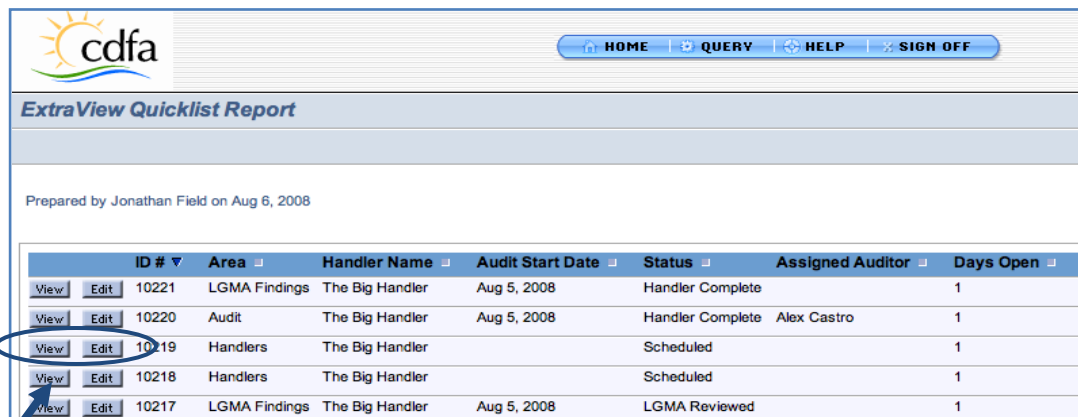
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FAQs – How to Review a Past Audit Information

All of a handler's audits will be available to view at any time. To bring up a list of all reports and audits, following these steps:

1. Click on the "Query" button at the top of the screen

2. Then click on the large "GO" button - This will bring up a table showing all past audits and reports.

3. From this table, click on 'edit' if you still have CAP information to add to a report, or click on "view" to see the full report

Troubleshooting

Contact the LGMA staff:

By phone at 916-441-1240

By email at info@caleafygreens.ca.gov

By fax at 916-446-1063